Broadridge

Maximize recoveries and minimize risk—worldwide

Handle class actions and collective redress asset recovery opportunities with confidence.

Ready for Next

Simplify the complex

Class actions and collective proceedings involving securities and financial products are growing in volume and complexity.

- Global asset recovery opportunities are booming
- New legal pronouncements are frequent
- Recovery options vary materially by country and case
- Data management and portfolio monitoring needs have evolved
- Claims filing is more complicated and labor intensive
- Compliance with fiduciary obligations requires more specialized knowledge

THE RESULT

Billions of dollars are left on the table each year due to lack of information, missed filing opportunities, a "check the box" approach to claims preparation, and errors in complex claims processing.

BY THE NUMBERS

610 new securities class actions filed over 18 months in the US alone

2019

180+ asset recovery opportunities globally for over **$4B** in settlements

2x the annual average of filings compared to prior 20 years

2020

122 asset recovery opportunities globally for over **$5.2B** as of Q3

2x the average settlement value compared to 2019

Keep up with the surge

The last decade has seen a rise in complicated class and collective actions based on alleged misstatements and financial wrongdoings affecting the price of the security or instrument. Events like data breaches, sexual harassment, and statements and conduct related to COVID-19 have also triggered actions.

Firms can expect continued growth in recovery opportunities, a rise in new legal theories supporting recovery, and an increased adoption of collective proceedings by jurisdictions globally. But, while there is much more opportunity for asset recovery in this dynamic space, there is also more on the line and more at risk.

Are you ready for what's next?

SUCCESSFUL OUTCOMES REQUIRE:

- A global class action investor recovery policy
- A robust litigation research and monitoring system that captures and organizes case information from hundreds of public and subscription sites globally
- Secure and intelligent storage, management, and opportunity matching tools for portfolio data
- A reliable and proven solution for complete substantiated and viable claim filing
- Specialized support services for lead plaintiff, opt-in and opt-out opportunities
- Post-filing tracking, audit and reconciliation advocacy
- Custom and on-demand reporting tools to engage internal stakeholders and clients

MEET A CLASS ACTION VETERAN

Steve Cirami
VP, Head of Class Actions and Corporate Actions

Steve has more than 20 years of class action industry experience. He has worked as an attorney, a court-appointed class-action expert, and Global Head of one of the largest class action claims administration companies. With his 360-degree perspective, Steve delivers operational excellence to nearly 700 custodians, asset managers, trust banks and institutional investors.

Tap into our depth of experience

Broadridge combines a 50-year track record servicing the financial services industry with deep class action expertise to help you simplify the complex. Broadridge Global Class Action Services delivers the technology, insights and expertise you need to identify, file and recover the funds to which you, your clients and investors are entitled.

BROADRIDGE'S INDUSTRY EXPERIENCE

Our end-to-end Global Class Action Services solution employs a client Advocacy Model that covers all security types and legal remedies worldwide. It streamlines and automates asset recovery—from monitoring and filing, to validation and payment distribution—so you can focus on your core business goals and objectives.

Our team members have managed hundreds of global complex settlement administrations, including cases involving:

- Credit Default Swaps
- Euribor
- EuroYen
- ISDAfix
- Foreign Exchange (FX) Contracts—USA and Canada
- LIBOR Impacted Securities

CASE IN POINT

In 2020, a large international financial institution devoted significant internal time and resources to file a claim that covered millions of shares of common stock.

Shortly thereafter, the investor engaged Broadridge to manage its portfolio monitoring and claims filing. Broadridge performed an audit of the claim and quickly determined that the client's common stock purchases did not result in a Recognized Loss pursuant to the Plan of Allocation. In addition, the claim was missing an entire class of derivative securities potentially eligible for payment in the settlement.

KEY TAKEAWAY

Engaging Broadridge's expertise earlier could have saved the client significant time and diversion of internal resources. Our identification of additional paths to recovery for the client further confirmed the client's decision to move from internal management to partnership with Broadridge.

Employ best practices to identify and convert opportunities

As a global Fintech leader with a proven track record, Broadridge supports the world's-leading brokers, investment firms and asset managers. Our Global Class Action Services include a unique suite of configurable solutions that fit the needs of every type of investor.

- Investor Recovery Policy Development
- Global Research & Opportunity Tracking
- Data Management & Portfolio Monitoring
- Lead Plaintiff Support
- Opt-In Support
- Opt-Out Support
- Claims Filing
- Distribution
- Historical Audits
- Broker-Dealer Investor Notification

CAPITALIZE ON OUR INDUSTRY-LEADING DATA SECURITY

- ISO 27001 certified, SSAE 18 Certified and CSA STAR Level 2 Certified
- Aligned with the National Institute of Standards and Technology (NIST) for IT Cybersecurity
- Audited by 30+ major financial services firms each year

Industry-leading technology and security

Our robust client portal provides transparency and predictability across every aspect of your investor recovery policy. It provides detailed visibility into:

- Active asset recovery opportunities that affect your portfolio
- Filed and pending claims
- Claims requiring attention
- All paid claims
- Completed and pending distribution amounts and dates

Reporting can be organized by investor, account, case, jurisdiction, activity, (e.g., filings, distributions), and time period. Broadridge Global Class Action Services clients have 24/7 access to global class action litigation developments and asset recovery opportunities.

CASE IN POINT

During a recent multi-billion-dollar settlement administration, Broadridge received a claim rejection on behalf of a client. The administrator found that the claim did not include sufficient supporting documentation in response to an audit request.

Our Global Class Action Services team responded quickly by requesting a judicial review of the claim. We prepared and submitted a detailed statement explaining the sufficiency of the supporting documentation and we had experts on call to present to the court, if necessary.

THE RESULT

The Broadridge Advocacy Model drove a reversal of the administrator's decision, revitalizing a potential multimillion dollar distribution. Court intervention was not required.

Client Advocates protect and promote your interests from start to finish

Each Broadridge client is assigned a class action expert to serve as their Broadridge Global Class Action Services Client Advocate. Our deep relationships with global securities litigation law firms, litigation funders, and claims administrators provide us with unique access and a clear line of sight to advocate for you.

While your Client Advocate serves as the single point of oversight for your portfolio, he or she will draw on the experience of the entire Global Class Action Services team throughout the relationship. Our team members review and analyze your data, read and understand the requirements, and check the work of the claims administrator. In short, we dive deeper than other companies to ensure you and your funds, accounts, and clients receive every penny to which you or they are entitled.

MEET A CLASS ACTION VETERAN

Christi Cannon
VP, Global Class Actions

Christi has 25 years of experience in class action litigation, administration and asset recovery. She provides informed, custom solutions for client asset recovery via class and collective proceedings worldwide to Broadridge Global Class Action Services clients and is part of the extensive Global Class Action Services network that is driving opportunities for asset recovery for our clients.

Take advantage of our global network

Broadridge monitors class and collective action developments globally. We exclude no jurisdictions from our coverage. Members of our dedicated Global Class Action Services team maintain decades-deep relationships with global law firms, litigation funders, and claims administrators who are drivers and influencers in every market.

We work directly with the funders and law firms involved to evaluate the materiality and likelihood of recovery under international collective proceeding mechanisms and substantive securities laws, as well as to fully understand the level of engagement required by our client. We compile multiple damage estimates where possible, gather and organize relevant client data and documents and manage the entire process from beginning to end.

Broadridge | Global Footprint

45+ Processing locations globally

≈12k Associates in 17 countries worldwide

100+ Key financial centers served

- Transaction Processing, Customer & Investor Communications
- Investor Communication Center
- Primary Data Center, Development & Support
- International Development & Support
- Processing Support & Outsourcing Services Center
- Asian Sales IT & Support
- European Client Support

Keep everyone informed via multichannel notifications

Banks and broker-dealers have a fiduciary obligation to notify their investors of their legal rights in securities class action settlements. Broadridge provides class action settlement notification services to millions of investors each year on behalf of more than 30 of the world's-largest broker-dealers, minimizing their risk and the burden on internal resources.

Broadridge executes this service using the same proven systems upon which broker-dealers and issuers rely for billions of print and digital regulatory communications to investors annually.

Our clients can...

LEVERAGE THE BROADRIDGE E-COMMUNICATION PLATFORM
to identify the preferred communication elections (e.g., print or digital) of millions of investors

MAXIMIZE INVESTOR NOTIFICATION
and client participation by using the most up-to-date investor contact information

MITIGATE THE RISK
of a missed settlement or investor notification

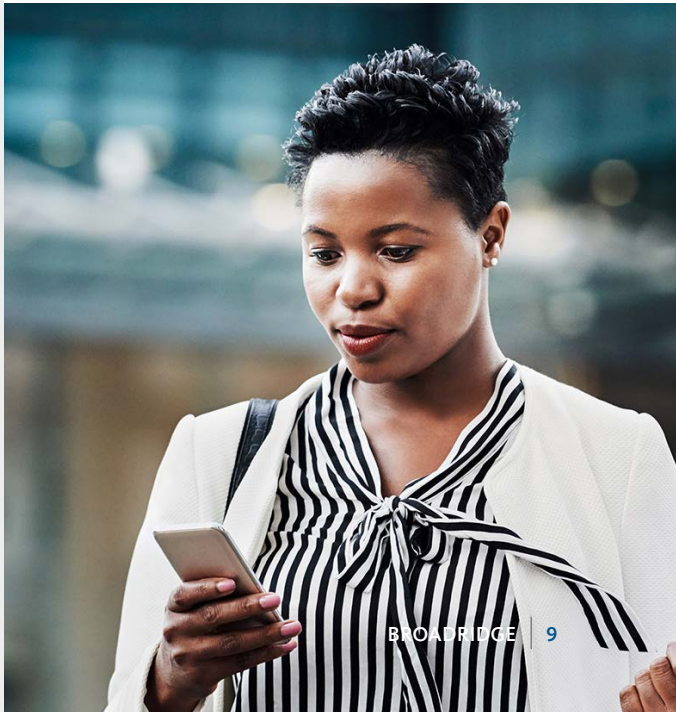
ACCELERATE NOTIFICATION DELIVERY
and reduce notification delivery costs

ACCESS NOTIFICATION REQUIREMENTS
and activity at any time via our client portal

MEET A CLASS ACTION VETERAN

Ed Crespo
Director, Client Services

Ed has 35 years of industry experience in corporate action and class action operations and has worked with Broadridge clients for more than 20 years. He works with some of the world's-largest financial institutions to facilitate their investor communications.



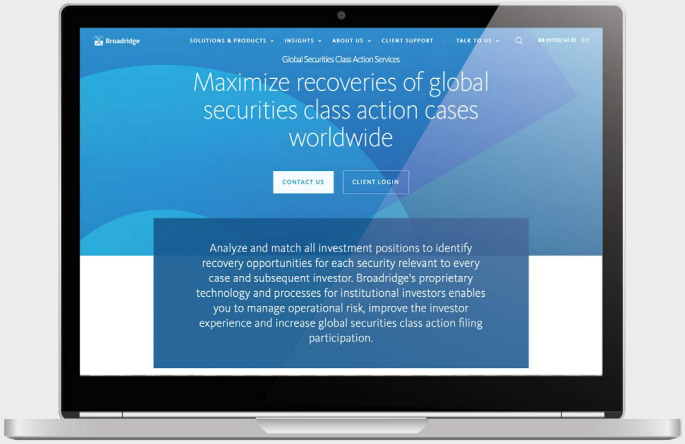
MEET A CLASS ACTION VETERAN

Ellen Riley
Senior Director, Operational Accuracy & Client Advocacy

Ellen has more than 25 years of complex claims administration experience, in-depth securities case knowledge and claims design and processing expertise. She oversees the implementation of best practices and processes in claims preparation and in advocating for clients in rejection and deficiency settings.

Benefit from our unique perspective

Turn to Broadridge, the only S&P 500® company and Fintech leader that provides global class action services for unmatched resources in this complex and dynamic space. Our unique vantage point enables us to see the full global picture and anticipate changes in order to help clients capitalize on key trends, seize crucial opportunities, and make bigger and more confident decisions.



SECURITIES CLASS ACTION INDUSTRY TRENDS

- Growth
- Globalization of Class Actions
- Complex Case Theories and Underlying Securities
- Growing Complexities in Class Action Laws

Maximize recoveries and minimize risk

Broadridge Global Class Action Services identify, file claims for, and recover the money to which you, your clients and investors are entitled. We streamline and automate asset recovery—from data management and opportunity monitoring to claims filing and distribution—so you can focus on your core business objectives.

Don't leave money on the table.
Choose Broadridge Global Class Action Services.

20
DEDICATED TEAM MEMBERS WITH AN AVERAGE OF 14 YEARS' EXPERIENCE

50
YEARS OF FINANCIAL INDUSTRY EXPERTISE

$4B
IN ANNUAL REVENUE

90
COUNTRIES

12K
FULL-TIME ASSOCIATES

600+
SATISFIED CLASS ACTION CLIENTS

Tap into the power of a global Fintech leader

As the class action market grows in size and scope, becomes more complex, and expands to more markets worldwide, Broadridge is investing in the right people and technology to keep its clients ahead of the curve and Ready for Next.

As a global Fintech leader with over $4 billion in revenues and part of the S&P 500® Index, Broadridge provides communications, technology, data and analytics. We help drive business transformation for our clients with solutions for enriching client engagement, navigating risk, optimizing efficiency and generating revenue growth.

LEARN MORE

Discover how Broadridge can help you handle class actions and collective redress proceedings with confidence. For more information, please contact us at +1 855 252 3822, or visit our website at broadridge.com.

Broadridge®

broadridge.com

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Ready for Next

Communications
Technology
Data and Analytics